

DEPARTMENT OF HEALTH AND HUMAN SERVICES (HHS)
Program Announcement No. AoA-02-04
Older Americans Act Title III-E Discretionary Program Announcement and Application
Kit - Administration on Aging (AoA)

Deadline date for the submission of applications: May 10, 2002

ACTION: Announcement that cooperative agreement awards will be made for activities of national significance under the National Family Caregiver Support Program. These cooperative agreements are to develop services and systems to sustain the efforts of families and other informal caregivers of older individuals, and grandparents or older individuals who are relative caregivers of children. The accompanying set of materials comprises the **application kit** for preparing and submitting cooperative agreement proposals to compete for those project awards.

SUMMARY: AoA announced in the *Federal Register* that it will hold a competition for cooperative agreement awards for projects that develop services and systems which demonstrate new or improved approaches and systems of supportive services for certain family caregivers.

This program announcement consists of two parts. *Part I* provides background information, describes the program priority areas under which AoA is inviting applications to be considered for funding, and describes the process governing the consideration of project applications for funding. *Part II* provides guidance on how to prepare and submit an application.

All of the forms, assurances, and certifications necessary to complete the application are included following *Part II*. Grant awards will be made under this announcement subject to the availability of funds for the support of the priority area project activities described herein.

DATE: The deadline date for the submission of applications is May 10, 2002.

ADDRESS: Application receipt point: U.S. Department of Health and Human Services, Administration on Aging, Office of Grants Management, 330 Independence Avenue, S.W., Room 4257, Washington, D.C. 20201, Attn: AoA-02-04.

Electronic submission address: <http://www.aoa.gov/egrants/>

FOR FURTHER INFORMATION CONTACT: U.S. Department of Health and Human Services, Administration on Aging, Office of Program Development, 330 Independence Avenue, S.W., Washington, D.C. 20201. Any questions related to this program announcement can be directed to Rick Greene at (202) 205-2814 or rick.greene@aoa.gov.

Part I. Background Information and Priority Area Description

A. Statutory Authority

The statutory authority for grants and cooperative agreements for “National Innovation Programs” is contained in Title III-E, Sections 375 and 376, of the Older Americans Act, (42 U.S.C. 3001 et seq.), as amended by the Older Americans Act Amendments of 2000 (P.L. 106-501). Subject to the availability of funds some part of these grants may be funded from Title IV of the Older Americans Act.

B. Eligible Applicants

Organizations with demonstrated expertise in aging and caregiving may apply for cooperative agreements for National Projects that Enhance the Development of Caregiver Programs. Public and private non-profit organizations, including faith-based and community-based organizations, are eligible to apply for these grants and cooperative agreements.

Applicant organizations may submit only one proposal under this announcement. No application may exceed 20 pages.

Any applicant that is not now a DHHS grantee should include, with its application, Internal Revenue Service or other legally recognized documentation of its nonprofit status. A nonprofit applicant cannot be funded without proof of its status.

C. Priority Areas

The only Priority Area addressed under this announcement is: **National Projects That Enhance the Development of Caregiver Programs.**

D. Project Funding and Duration

AoA plans to fund approximately 7 projects nationwide. The demonstration projects will be approved for a period of up to two years. Funding after the first year is contingent on the availability of federal funds and the grantee’s performance relative to project goals and the grantee’s compliance with the terms and conditions of the grant. The federal share of the costs of any of the projects will not exceed 75%.

Caution! The authority in Title III-E, Subpart 2, has explicit sunset provisions which provide that the authority for these grants is effective only, “. . . for 3 fiscal years after the date of enactment of the Older Americans Act Amendments of 2000.” That means that the authority for new or continuation grants from this source will not continue beyond FY 2004. After FY 2004, services provided as part of these grants can only be continued with **funds from other sources**, such as state, Area Agency on Aging, local funds, or other federal programs. Responsibility for continuing services that are part of

these demonstrations after the period provided in the grants that are awarded by AoA resides with the grantee.

Part II. Standard Forms and Project Narrative

A. STANDARD FORMS

This document provides step-by-step instructions for completing all necessary forms, documents and information required by the U.S. Administration on Aging for competitive grant award applications authorized under Title IV of the Older Americans Act. It includes special instructions for completing Standard Budget Forms 424 and 424A. Standard Forms 424 and 424A are used for a wide variety of federal grant programs, and federal agencies have the discretion to require some or all of the information on these forms. AoA does not require all the information on these Standard Forms. Accordingly, please use the instructions below in lieu of the standard instructions attached to SF 424 and 424A to complete these forms. Please note that single-sided copies of all required forms must be used in submitting your application.

1. Standard Form 424

Item 1. Mark “Non-Construction” under “Application”.

Item 2. Fill in the date you submit the application. The three “Identifier” boxes to the right of Items 2 through 4 should be left blank.

Item 3. Not applicable – Mark “NA”.

Item 4. Leave blank.

Item 5. Enter the legal name of the applicant organization; the name of the primary organizational unit responsible for managing the project; the applicant’s address; and the name and telephone number of the person to contact on matters related to this application.

Item 6. Enter the Employer Identification Number (EIN) of the applicant organization that has been assigned to the organization by the Internal Revenue Service. Please include the suffix to the EIN if known.

Item 7. Enter the appropriate letter in the box provided. NOTE: If your organization is a faith-based or community-based organization, please specify in letter N (other).

Item 8. Check the “New” box.

Item 9. Enter - Administration on Aging

Item 10. Enter – 93.048

Item 11. Enter the title of the project.

Item 12. List only one entity - it should be the largest political entity affected.

Item 13. Enter the start and end date for the upcoming budget period for the project.
(NOTE: The start date usually coincides with the date AoA issues the grant award to the applicant organization, with the end date usually being 12 months later.)

Item 14. Enter the Congressional District(s) affected by the project.

Item 14a. Enter the Congressional District where the applicant organization is located.

Item 14b. Leave Blank

Item 15. **NOTE:** Applicants should review cost sharing or matching principles contained in Subpart C of 45 CFR Part 74 or 45 CFR Part 92 before completing Item 15 and the Budget Information Sections A, B and C noted below.

All budget information entered under item 15 should cover the upcoming budget period. For sub-item 15a, enter the federal funds being requested. Sub-items 15b-15e are considered matching funds. The dollar amounts entered in sub-items 15b-15f must total at least 1/3rd of the amount of federal funds being requested (the amount in 15a). For a full explanation of AoA's match requirements, see the information in the box below. For sub-item 15f, enter only the amount, if any, that is going to be used as part of the required match.

There are three types of match: 1.) non-federal cash; 2.) non-federal non-cash (i.e., in-kind); and program income. In general, costs borne by the applicant and cash contributions of any and all third parties involved in the project, including sub-grantees, contractors and consultants, are considered cash matching funds. Generally, most contributions from third parties will be non-cash (i.e., in-kind) matching funds. Examples of non-cash (in-kind) match include: volunteered time and use of facilities to hold meetings or conduct project activities. A third form of non-federal match is projected program income derived from activities of the project such as participant fees and sale of publications. Only program income that is to be used as part of the required match, should be shown on Line 15.

AOA's Match Requirement

Under this and other OAA programs, AoA will fund no more than 75 % of the project's total cost. This means that the applicant must cover at least 25% of the project's total cost with non-federal resources. In other words, for every three (3) dollars received in federal funding, the applicant must contribute at least one (1) dollar in non-federal resources toward the project's total cost (i.e., the amount on line 15g.). This "three-to-one" ratio is reflected in the following formula which you can use to calculate your minimum required match:

$$\frac{\text{Federal Funds Requested (i.e., amount on line 15a)}}{3} = \frac{\text{Minimum Match Requirement}}$$

For example, if you request \$100,000 in federal funds, then your minimum match requirement is \$100,000/3 or \$33,333.

Another formula that you can use to calculate your minimum match requirement (that will give use the same result) is:

$$\text{Total Project Cost (i.e., the amount on line 15g)} \times \text{Match Rate (i.e., 25\%)} = \frac{\text{Minimum Match Requirement}}$$

For example, if the total cost of your project is going to be \$133,333, than your minimum required match is \$133,333 x 25% or \$33,333.

A common error applicants make is to match 25% of the federal share, rather than 25% of the project's total cost, so be sure to use one of the formulas above to calculate your match requirement.

If the required non-federal share is not met by a funded project, AoA will disallow any unmatched federal dollars.

NOTE: **Indirect charges** may only be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements.

Item 16. Check b. No - Program is not covered by E.O. 12372

Item 17. This item applies to the applicant organization. Categories of debt include delinquent audit disallowances, loans, and taxes.

Item 18. To be signed by the authorized representative of the applicant organization. A document attesting to that sign-off authority must be on file in the grantee's office.

2. Standard Form 424A

NOTE: Standard Form 424A is designed to accommodate applications for multiple grant programs; thus, for purposes of this AoA program, many of the budget item columns and rows are not applicable. For your convenience, these non-applicable columns and rows have been shaded-out on the form. You should only consider and respond to the budget items for which guidance is provided below.

Section A - Budget Summary

Line 5: Leave columns (c) and (d) blank. Enter TOTAL federal costs in column (e) and total non-federal costs (including third party in-kind contributions and any program income to be used as part of the grantee match) in column (f). Enter the sum of columns (e) and (f) in column (g).

Section B - Budget Categories

Column 3: Enter the break down of how you plan to use the federal funds being requested by object class category (see instructions for each object class category below).

Column 4: Enter the break down of how you plan to use the non-federal share by object class category.

Column 5: Enter the total funds required for the project (the sum of Columns 3 and 4) by object class category.

Separate Budget Justification Requirement

You must submit a separate budget justification as part of your application. **A blank sample format (and one with examples) has been included in the attachments for your use in developing and presenting your Budget Justification.** In your budget justification, you should include a breakdown of the budget which shows the costs for all of the object class categories noted in Section B, across three columns: federal; non-federal cash; and non-federal in-kind. The justification should fully explain and justify the costs in each of the major budget items for each of the object class categories, as described below. Third party in-kind contributions and program income designated as non-federal match contributions should be clearly identified and justified separately from the justification for the budget line items. The full budget justification should be included in the application immediately following the SF 424 forms.

Line 6a: Personnel: Enter total costs of salaries and wages of applicant/grantee staff. Do not include the costs of consultants; consultant costs should be included under 6h - Other. In the Justification: Identify the project director, if known. Specify the key staff, their titles, brief summary of project related duties, and time commitments in the budget justification.

Line 6b: Fringe Benefits: Enter the total costs of fringe benefits unless treated as part of an approved indirect cost rate. In the Justification: Provide a break-down of amounts and percentages that comprise fringe benefit costs, such as health insurance, FICA, retirement insurance, etc.

Line 6c: Travel: Enter total costs of out-of-town travel (travel requiring per diem) for staff of the project. Do not enter costs for consultant's travel - this should be included in line 6h. In the Justification: Include the total number of trips, destinations, purpose, length of stay, subsistence allowances and transportation costs (including mileage rates).

Line 6d: Equipment: Enter the total costs of all equipment to be acquired by the project. For all grantees, "equipment" is non-expendable tangible personal property having a useful life of more than two years and an acquisition cost of \$5,000 or more per unit. If the item does not meet the \$5,000 threshold, include it in your budget under Supplies, line 6e. In the Justification: Equipment to be purchased with federal funds must be justified as necessary for the conduct of the project. The equipment must be used for project-related functions; the equipment, or a reasonable facsimile, must not be otherwise available to the applicant or its sub-grantees. The justification also must contain plans for the use or disposal of the equipment after the project ends.

Line 6e: Supplies: Enter the total costs of all tangible expendable personal property (supplies) other than those included on line 6d. In the Justification: Provide general description of types of items included.

Line 6f: Contractual: Enter the total costs of all contracts, including (1) procurement contracts (except those which belong on other lines such as equipment, supplies, etc.). Also include any contracts with organizations for the provision of technical assistance. Do not include payments to individuals on this line. In the Justification: Attach a list of contractors

indicating the name of the organization, the purpose of the contract, and the estimated dollar amount. If the name of the contractor, scope of work, and estimated costs are not available or have not been negotiated, indicate when this information will be available. **Whenever the applicant/grantee intends to delegate a substantial part (one-third, or more) of the project work to another agency, the applicant/grantee must provide a completed copy of Section B, Budget Categories for each contractor, along with supporting information and justifications.**

Line 6g: Construction: Leave blank since construction is not an allowable costs under this AoA program.

Line 6h: Other: Enter the total of all other costs. Such costs, where applicable, may include, but are not limited to: insurance, medical and dental costs (i.e. for project volunteers this is different from personnel fringe benefits); non-contractual fees and travel paid directly to *individual* consultants; local transportation (all travel which does not require per diem is considered local travel); postage; space and equipment rentals/lease; printing and publication; computer use; training and staff development costs (i.e. registration fees). If a cost does not clearly fit under another category, and it qualifies as an allowable cost, then rest assured this is where it belongs. In the Justification: Provide a reasonable explanation for items in this category. For individual consultants, explain the nature of services provided and the relation to activities in the work plan. Describe the types of activities for staff development costs.

Line 6i: Total Direct Charges: Show the totals of Lines 6a through 6h.

Line 6j: Indirect Charges: Enter the total amount of indirect charges (costs), if any. If no indirect costs are requested, enter "none." Indirect charges may be requested if: (1) the applicant has a current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency; or (2) the applicant is a state or local government agency. State governments should enter the amount of indirect costs determined in accordance with DHHS requirements

Line 6k: Total: Enter the total amounts of Lines 6i and 6j.

Line 7: Program Income: As appropriate, include the estimated amount of income, if any, you expect to be generated from this project that you wish to designate as match (equal to the amount shown for Item 15(f) on Form 424). **Note:** Any program income indicated at the bottom of Section B and for item 15(f) on the face sheet of Form 424 will be included as part of non-Federal match and will be subject to the rules for documenting completion of this pledge. If program income is expected, but is not needed to achieve matching funds, **do not** include that portion here or on Item 15(f) of the Form 424 face sheet. Any anticipated program income that will not be applied as grantee match should be described in the Level of Effort section of the Program Narrative.

Section C - Non-Federal Resources

Line 12: Enter the amounts of non-Federal resources that will be used in carrying out the proposed project, by source (Applicant; State; Other) and enter the total amount in Column (e). Do

not include program income unless it is used to meet the match requirement. Keep in mind that if program income used to meet the match requirement and the projected level of program income is not met, thereby decreasing the level of match, the amount of federal funds available to the grantee may be reduced if the match falls below required levels.

Section D - Forecasted Cash Needs - Not applicable.

Section E - Budget Estimate of Federal Funds Needed for Balance of the Project

Line 20: NOTE: Leave this line blank. Section E is relevant only for **multi-year** grant applications, where the project period is 24 months or longer. This section does not apply to grant awards where the project period is less than 17 months.

Section F - Other Budget Information

Line 22: Indirect Charges: Enter the type of indirect rate (provisional, predetermined, final or fixed) to be in effect during the funding period, the base to which the rate is applied, and the total indirect costs. **Include a copy of your current Indirect Cost Rate Agreement.**

Line 23: Remarks: Provide any other comments deemed necessary.

3. Standard Form 424B - Assurances

This form contains assurances required of applicants under the discretionary funds programs administered by the Administration on Aging. Please note that a duly authorized representative of the applicant organization must certify that the organization is in compliance with these assurances.

4. Standard Form CD-511 – Certifications

This form contains certifications that are required of the applicant organization regarding (a) lobbying; (b) debarment, suspension, and other responsibility matters; and (3) drug-free workplace requirements. Please note that a duly authorized representative of the applicant organization must attest to the applicant's compliance with these certifications.

B. PROJECT NARRATIVE

The Project Narrative is the most important part of the application, since it will be used as the primary basis by AoA to determine whether or not your project meets the minimum requirements for grants under Title IV of the Older Americans Act.

The Project Narrative should provide a **clear and concise** description of your project. AoA recommends that your project narrative be presented in the following format:

1. Executive Summary
2. Problem Statement
3. Goal and Objectives
4. Proposed Intervention

5. Anticipated Outcome(s)
6. Project Management
7. Evaluation
8. Dissemination
9. Work Plan
10. Organizational Capability and Vitae of Key Project Personnel
11. Letters of Cooperation

The Project Narrative must be double-spaced, on single-sided 8 ½" x 11" plain white paper with 1" margins on both sides, and a font size of not less than 11. You can use smaller font sizes to fill in the Standard Forms and Sample Formats. The suggested length for the Project Narrative is ten to twenty pages; twenty pages is the maximum length allowed. AoA will not accept applications with a Project Narrative that exceeds 20 pages, excluding the Project Work Plan. NOTE: The Project Work Plan, Letters of Cooperation, and Vitae of Key Personnel are not counted as part of the Project Narrative for purposes of the 20-page limit, but all of the other sections above are included in the limit, including Sections, 1 through 8, and Section 10 except for the Vitae.

The contents of each component of the Project Narrative should be as follows:

1. **Executive Summary.** This section should include a brief - **no more than one page max** - description of the proposed project, including: the problem or issue to be addressed; the project's goal and objectives; the proposed intervention; anticipated outcomes; and the key audiences that will benefit from the project and its findings. (Suggested Length – not to exceed one page.)
2. **Problem Statement.** This section should describe, in both quantitative and qualitative terms, the nature and scope of the particular problem or issue the proposed intervention is designed to address, including how the project will potentially affect the elderly population and/or their caregivers (including specific subgroups within those populations), and possibly the health care and social services systems (e.g., the use of health care and/or nursing home services.) (Suggested Length and Format: two to four paragraphs.)
3. **Goals and Objectives.** This section should consist of a description of the project's goal(s) and major objectives. NOTE: Unless the project involves multiple, complex interventions, we recommend you have only one overall goal. (Suggested Length and Format: Preferably, include this information in the attached project work plan grid; alternatively, use a bulleted format or describe in one paragraph.)
4. **Proposed Intervention.** This section should provide a clear and concise description of the intervention you are proposing to use to address the problem described in section 2. You should also describe the rationale for using the particular intervention, including factors such as: "lessons learned" for similar projects previously tested in your community, or in other areas of the country; factors in the larger environment that have created the "right conditions" for the intervention (e.g., existing social, economic or political factors that you'll be able to take advantage of, etc.). Also note any major barriers you anticipate encountering, and how your project will be able to overcome those barriers. Be sure to describe the role and makeup of any strategic partnerships you plan to involve in implementing the intervention, including

other organizations, funders, and/or consumer groups. (Suggested Length and Format: Four to six paragraphs.)

5. **Outcome(s).** This section of the project narrative must clearly identify the measurable outcome(s) that will result from the project. (NOTE: AoA will not fund any project that does not include measurable outcomes - see the section below for a definition of a measurable outcome.). This section should also describe how the project's findings might benefit the field at large, e.g., how the findings could help other organizations throughout the nation to address the same or similar problems. (Suggested Length and Format: For your measurable objectives: preferable list them in the attached work plan grid; alternatively, present in bullet format; if presented in narrative format – one paragraph. For your description of how the project might benefit the field at large, one to three paragraphs.)

NOTE: You should keep the focus on this section on describing what outcome(s) will be produced by the project. You should use the Evaluation section noted below to describe how the outcome(s) will be measured and reported.

DEFINITION OF A MEASURABLE OUTCOME:

A “measurable outcome” is an observable end-result. Examples include: an “impact” on a problem (e.g., a change in a client’s financial, health and/or functional status, mental well-being, knowledge, skill, attitude, awareness or behavior.) Other examples include a change in the degree to which consumers exercise choice over the types of services they receive, or the degree to which consumers are satisfied with the way a service is delivered. Additional examples include: a change in the cost-efficiency and/or cost-effectiveness of a service delivery system; a new model of support or care that can be replicated in the aging network; or, new knowledge that can contribute to the field of aging.

A measurable **outcome** IS NOT a measurable **output**, such as: the number of clients served; the number of training sessions conducted; the number of service units provided; or tangible products and/or reports.

NOTE: Your application will be scored on the clarity and nature of your proposed outcome(s), NOT on the number of outcomes you cite. It is totally appropriate for a project to have only ONE outcome that it is trying to achieve through the intervention reflected in the project’s design.

6. **Project Management.** This section should include a clear delineation of the roles and responsibilities of project staff, consultants and partner organizations, and how they will contribute to achieving the project’s objectives and outcomes. It should specify who would have day-to-day responsibility for key tasks such as: leadership of project; monitoring the project’s on-going progress, preparation of reports; communications with other partners and AoA. It should also describe the approach that will be used to monitor and track progress on the project’s tasks and objectives. (Suggested Length and Format: Three paragraphs.)
7. **Evaluation.** This section should describe the method that will be used to evaluate whether or not the proposed intervention achieved its measurable outcome(s). The evaluation should also be design to capture “lessons learned” – both positive and negative - from the project that will

be of use to people interested in replicating the intervention, if it proves successful. The section should describe the quantitative and qualitative tools and techniques that will be used to measure whether or not the project achieved its stated outcome(s), and how the “lessons learned” will be identified and documented. (Suggested Length and Format: Five to eight paragraphs.)

- 8. Dissemination.** This section should describe the method that will be used to disseminate the project’s results and findings in a timely manner and in easily understandable formats, to parties who might be interested in using the results of the project to inform practice, service delivery, program development, and/or policy-making, including and especially those parties who would be interested in replicating the project. (Suggested Length – three to five paragraphs.)
- 9. Work Plan.** The Project Work Plan should reflect and be consistent with the Project Narrative and Budget. It should include a statement of the project’s overall goal, anticipated outcome(s), key objectives, and the major tasks / action steps that will be pursued to achieve the goal and outcome(s). For each major task / action step, the work plan should identify the timeframes involved (including start- and end-dates), and the lead person responsible for completing the task. A Sample Work Plan format for your use is included in the Attachments. (Suggested Length and Format: use the sample grid; alternatively, not more than two pages preferable presented in bulleted format.)

10. Organizational Capability Statement and Vitae for Key Project Personnel

Each application should include an organizational capability statement and vitae for key project personnel. The organizational capability statement should describe how the applicant agency (or the particular division of a larger agency which will have responsibility for this project) is organized, the nature and scope of its work and/or the capabilities it possesses. This description should cover capabilities of the applicant agency not included in the program narrative, such as any current or previous relevant experience and/or the record of the project team in preparing cogent and useful reports, publications, and other products. If appropriate, include an organization chart showing the relationship of the project to the current organization. Include short vitae for key project staff only. Also include information about any contractual organization(s) that will have a significant role(s) in implementing project and achieving project goals.

11. Letters of Commitment From Key Participating Organizations and Agencies

Include confirmation of the commitments to the project (should it be funded) made by key collaborating organizations and agencies in this part of the application. Any organization that is specifically named to have a significant role in carrying out the project should be considered an essential collaborator.

C. APPLICATION SCREENING CRITERIA

The deadline date for the submission of applications is 60 days after notification in the Federal Register.

No application may exceed 20 pages.

D. GENERAL REQUIREMENTS

The following requirements apply to all proposals. Applicants should review their proposals against the list of requirements to ensure that each requirement has been addressed in the proposal.

1. Project Planning Process

- Applicants are expected to demonstrate a familiarity with the history, literature, current status, and policy considerations bearing on the development of supportive services programs for family caregivers. Information regarding these matters is available in books, journals, and on AoA's web page related to the development of family caregiver supportive service programs (<http://www.aoa.gov/carenetwork>).
- Applicants must provide detailed specifics about the goals, implementation strategies, and outcomes for the first year of the grant. Project emphases and anticipated major activities for year two should also be identified. A description of each goal and activity, as well as its relation to identified needs, should be provided.
- Applicants must provide a time-line chart or its equivalent to list project activities in chronological order and show the target dates for the projected accomplishments.
- Projects must be cost-effective and programmatically efficient, maximizing Federal, state and local resources

2. Project Implementation & Management

- Applicants must provide adequate program development support and leadership. AoA expects that throughout the grant period, the Project Director will have involvement in and substantial knowledge about all aspects of the project and will have a solid understanding of how the activities in this project relate to other caregiving programs and activities elsewhere in the nation.
- Applicants must describe their plans for project monitoring and quality assurance.
- Applicants should describe their dissemination plan and anticipated products. AoA expects that nationwide dissemination of products and knowledge will occur.
- When training is a significant component of the proposal, AoA expects to see a detailed training plan, including who is to be trained, who will provide the training and their general qualifications, and how the training addresses identified service and system gaps for family caregivers of the elderly and disabled. We also expect that applicants will use, as a starting point, some of the existing professional and consumer training materials and models and adapt them for local use rather than reinventing existing training programs.

3. Reporting

Grantees are required to submit two progress reports each year. A semi-annual progress report, consisting of a narrative and Financial Status Report (FSR, form #269), covering the first six months of the project. An additional progress report, covers each subsequent six month period. A final project report is due 90 days after the completion of the grant project.

Organizations must have adequate capacity to meet all reporting requirements and time lines. Failure to meet reporting requirements will result in suspension or termination of the cooperative agreement.

F. Priority Area Description

1) Background

Family caregivers provide most of the care that supports elderly persons with chronic disabilities. This long-term care is almost entirely unpaid and greatly enhances the quality of life of the care recipients, often being the determining factor in where they live and even affecting their ability to survive. Among non-institutionalized persons needing assistance with activities of daily living, 95% have family members involved in their care. This degree of caregiver involvement has remained fairly constant over more than a decade, bearing witness to the remarkable resilience of the American family in taking care of its elders despite increased family mobility, greater numbers of women in the workforce, and other changes in family structure.

However, the costs to caregivers - in terms of time, physical and emotional stress, and financial burden - can be significant. For example, the most recent National Long-Term Care Survey and other research have documented that:

- Caring for an impaired older person often requires demands, e.g., heavy lifting and turning, frequent bedding changes, and helping a person use a toilet, that physically strain caregivers, many of whom are older persons too, and compounds existing health problems;
- Bearing the long-term care responsibilities for a disabled older relative or friend places heavy emotional strain on the caregiver and often results in depression;
- Two-thirds of working caregivers report conflicts between work and caregiving, which require them to rearrange their work schedules, work fewer than normal hours, and/or take unpaid leaves of absence.

Over the last three decades, increasing numbers of research studies have improved our understanding of the many dimensions and dynamics of family caregiving. Early research on social program interventions to support family caregivers showed that the interventions often had little or no effect on caregivers. Frequently, family caregivers that seemed to need help would reject or underutilize supportive services. More recent research has led to the realization that caregivers and their needs vary greatly. Their needs often change drastically over the period in which they provide care. We have learned that an all-purpose service provided to an “average caregiver” will not be effective. The recent research shows that service interventions tailored to a caregiver’s more immediate needs can effectively enhance the quality of life for caregivers and care recipients. Further, supportive services

can, in some cases, delay the shift from home and community settings to nursing homes. Therefore, the National Family Caregiver Support Program (NFCSP) is designed to develop multi-faceted systems of community services that can be offered to caregivers to meet their various perceived needs. An excellent research-based description of caregivers, their needs, and changes that occur during their caregiver careers is available on AoA's web page at <http://www.aoa.gov/carenetwork/>. "Change, Continuity and Diversity Among Caregivers" by Rhonda J. V. Montgomery and Karl D. Kosloski aids in understanding the range and continuity of services that can be linked to effectively assist caregivers.

National recognition is beginning to be paid to the critical role of families in the provision of Long-Term Care (LTC). In 1993, the Family and Medical Leave Act was enacted to ensure that businesses address the needs of their employees with regard to eldercare and parenting. In November 2000, the NFCSP was enacted to help families sustain their efforts to care for an older relative who has a serious chronic illness or disability. Under this new Older Americans Act (OAA) program, the State Agencies on Aging, working in partnership with Area Agencies on Aging, community service providers and consumer organizations, will put in place five basic program components of a multi-faceted system:

- Information to caregivers about available services;
- Assistance to caregivers in gaining access to supportive services;
- Individual counseling, organization of support groups, and caregiver training to caregivers to assist the caregivers in making decisions and solving problems relating to their caregiving roles;
- Respite care to enable caregivers to be temporarily relieved from their caregiving responsibilities; and
- Supplemental services, on a limited basis, to complement the care provided by caregivers.

2) Project Objectives

AoA is currently providing **formula grants** under OAA Title III-E, Section 373 to **states** to implement the NFCSP. The cooperative agreements being offered under this announcement are for projects that will generate and disseminate knowledge that can improve the quality and effectiveness of the NFCSP multi-faceted systems of services being established and improved by the aging network. Based on existing research on program components similar to those being implemented in the NFCSP, AoA requests that prospective grantees address in their applications certain programmatic issues detailed below.

National Projects That Enhance the Development of Caregiver Programs

Applications for funding under this program announcement are limited to organizations with demonstrated expertise in aging and caregiving and the ability to provide the assistance proposed nationwide.

AoA plans to fund approximately seven (7) projects nationwide for up to \$200,000 each under cooperative agreements for up to two years. A cooperative agreement is an award of financial assistance where "substantial involvement" by AoA is anticipated during the performance of the activity. "Substantial involvement" means that the recipient can expect AoA collaboration or participation in the implementation of the project.

AoA invites organizations with demonstrated expertise in aging and caregiving programs to submit applications that focus on assisting State Units on Aging (SUAs), AAAs, Tribes, and service provider organizations who provide supportive services to families caring for their older adults. Since this is a new national program, the emphasis of these grants is on assisting the aging network in areas of program development that can facilitate the initiation of the program. The assistance proposed must be available nationwide. However, the scope of the proposed activities may be limited to certain types of organizations such as SUAs, AAAs, Tribal organizations, faith-based organizations and service provider organizations. The assistance is to broadly serve all of the agencies in the type of organization selected by the applicant. Any activities proposed by the applicant should fully complement and not duplicate the program development activities being undertaken by the AoA. These include AoA's Caregiver Listserv, Caregiver Web Page for the Aging Network, National Caregiver Technical Assistance Conferences planned for the aging network, and the technical assistance/best practice materials that will be developed in connection with these conferences, including a Caregiver Resource Guide for the Aging Network. Information on these activities can be obtained from the AoA web page at <http://www.aoa.gov/carenetwork>.

Applicants should build into their proposals a method to obtain appropriate input from those parts of the aging network it intends to serve.

Projects that enhance the development of the caregiver network.

Applicants may consider one or more of the following when developing their proposed scope of work:

- Examine the role of the hospital in the caregiving process to suggest ways in which staff can support caregivers in a more appropriate and effective manner both during the care recipient's (or caregiver's) admission as well as upon discharge.
- Research the benefits to be derived in the formation of state caregiver coalitions to promote expansion, outreach and evaluation of local services for caregivers of the elderly and persons with disabilities.
- Identify important developments in caregiving programs, such as successful programs focused on building "multi-faceted support systems," and provide relevant information to the aging network.
- Convene conference workshops and meetings to complement/expand AoA National Conferences.
- Investigate the assistive technology that has been developed for frail elders and persons with disabilities, identify "best practices" to transfer this technology to assist family caregivers, and disseminate this information to the aging network in a variety of modalities.
- Identify and disseminate ways in which the aging network can link with other existing programs, e.g. foundation initiated projects to form public-private partnerships to complement the NFCSP services.
- Identify existing quality care standards that States, AAAs, Tribes and community and service providers have developed for care management, in-home service, adult day care, respite care, etc., and provide this information to the network.
- Develop new ways of training health professionals to identify the needs of caregivers, while the professionals are in the process of assisting their care recipients.
- Examine ways in which the use of volunteers can be used to alleviate the manpower shortage which impacts on the provision of respite care services.

- Determine interventions that will lead to the early detection, treatment and improvement of caregiver mental and physical health status.
- Assist AoA in documenting the impact of the NFCSP on states and the total funds (both federal and non-federal) available to assist caregivers nationally.

While information and materials developed under these cooperative agreements may be intended for a limited set of users, such as SUAs, AAAs, or Tribes, AoA may adapt any materials produced under these cooperative agreements for use by other segments of the aging network. All disseminated materials produced under the cooperative agreement may be used or separately disseminated by AoA, e.g. through the Caregiver Web Page for the Aging Network, giving full acknowledgement of the organization and authors of the materials.

Applicants must provide a detailed description of their expertise in caregiving, including publications, presentations, sponsored-conferences, and program development. The applicant must have staff available with the appropriate expertise in gerontology, caregiving, cultural competency, grandparenting, etc. Resumes must be attached for all key project staff (such as the project director, key trainers, and evaluators) that the applicant proposes to work on this project.

E. GRANT REVIEW PROCESS AND EVALUATION CRITERIA

An independent review panel of at least three individuals will evaluate applications that pass the screening. These reviewers are experts in their field, and are drawn from academic institutions, non-profit organizations, state and local government, and federal government agencies other than AoA. Based on the specific programmatic considerations set forth above in the priority area, the reviewers will comment on and score the applications, focusing their comments and scoring decisions on the criteria below.

Applications are scored by assigning a maximum of 100 points across four criteria:

1. Purpose and Need for Assistance

Weight: 15 points

- Does the application adequately and appropriately describe and document the key program and policy issues relevant to its purpose? Is the proposed project justified in terms of the most recent, relevant, and available information and knowledge? **(7 points)**
- Does the proposed project clearly and adequately respond to the program and policy issues involving the provision of supportive services to family caregivers of the elderly and disabled? **(8 points)**

2. Approach/Method – Work Plan and Activities

Weight: 35 points

- Does the proposed project effectively utilize a coordinated, collaborative approach, including partnerships with aging network agencies (national, State and Area Agencies on Aging, providers and Tribes), health care staff, community organizations that work directly with family caregivers, or other appropriate entities to affect policy and service delivery at the national, state and local levels? Has the applicant demonstrated its knowledge of the aging network and its ability to disseminate caregiving information nationwide? **(7 points)**

- Does the applicant present a well-organized work plan that systematically includes specific goals, objectives, activities and implementation strategies that are responsive to the applicant's statement of needs and purpose? Are plans for the project provided in sufficient detail to permit an understanding of the entire project's intended outcomes? Does the work plan include a detailed timeline for the accomplishment of tasks and objectives for the first year, and a more general timeline for the second and third years? Is the sequence and timing of events logical and realistic? **(11 points)**
- Has the applicant adequately described its plan for development of assistance to agencies providing services for family caregivers? Are activities in the work plan, including those provided by contractors, adequate and appropriate to achieve objectives? **(6 points)**
- Has the applicant demonstrated their expertise in issues related to family caregiving? Has the applicant included activities focused on improving the responsiveness of existing home and community based service system(s) for family caregivers? Are activities included in the work plan to engage and collaborate with state and local agencies; Tribes and organizations providing resources to Tribes, as appropriate; and faith-based and family caregiver organizations on crosscutting policy and service delivery issues? Are the proposed activities appropriate, given the project goals and objectives? **(11 points)**

3. Outcomes/Benefits/ Impact

Weight: 25 points

- Are the expected project benefits and/or results clearly identified, realistic, and consistent with the objectives of the project? Are outcomes likely to be achieved and will they significantly benefit family caregivers through improvement in policy or practice. **(13 points)**
- Is there a system to solicit and document feedback from project clients on the effectiveness, relevance and value of the information and assistance provided by the project? **(5 points)**
- Does the proposal include a plan for dissemination that is likely to increase the awareness of project activities and events during project performance? Is this plan adequate for communicating project outcomes and products to all appropriate audiences? **(7 points)**

4. Level of Effort, Program Management & Organizational Capacity Weight: 25 points

- Does the applicant have an established track record of collaboration among a variety of local, state, and federal agencies and organizations? Does the applicant have an established track record in providing assistance to the primary types of agencies to be served? Are letters from key participating organizations included and do they express the clear commitment and areas of responsibility of those organizations, consistent with the work plan description of their intended roles and contributions? **(5 points)**
- Are the roles and contribution of staff, consultants, and collaborative organizations clearly defined and linked to specific objects and tasks? Do the proposed project director(s), key

staff, and consultants have the background, experience, and other qualifications required to carry out their designated roles? **(5 points)**

- Does the proposal provide adequate programmatic, policy, and logistical support at the state and local levels to ensure successful implementation of the project's goals and objectives? Does the proposal show sufficient level of effort by the Project Director to effectively direct and manage the project? Are tasks and services provided by contractors clearly spelled out in the program narrative and budget justification? **(5 points)**
- Are the writers of the proposal identified and will they be involved in the project's management and implementation? If not, is there a logical explanation for their non-participation? **(2 points)**
- Is the budget justified with respect to the adequacy and reasonableness of resources requested? Are budget line items consistent with and tied to the work plan objectives? **(8 points)**

F. SUBMISSION OPTIONS AND APPLICATION COMPONENTS

For planning purposes, potential applicants are requested to send a letter of intent. This letter is not binding and applications can be submitted without a letter of intent.

Applicants have the option of either mailing their application, or submitting it electronically. AoA encourages organizations to submit their applications electronically.

If you elect to submit your application electronically, follow the instructions at: <http://www.aoa.gov/egrants>.

If you elect to mail your application, you must submit **one original application and two copies**, plus a completed application checklist to AoA. The Checklist was included as a separate one-page document in the Application Packet. An optional Receipt of Application Acknowledgement Card was also included in the Packet. To expedite the processing of applications, we request that you arrange the components of your application in the following order:

1. SF 424 Note: The original copy of the application must have an original signature in item 18d on the SF 424.
2. SF 424A
3. Separate Budget Justification (See Attachments for Sample Format)
4. SF 424B Note: Be sure to complete this form according to instructions and have it signed and dated by the authorized representative (see item 18d on the SF 424).
5. SF CD-511
6. Copy of the applicant's most recent indirect cost agreement, as necessary;

7. Project Narrative with Work Plan (See Attachments for Sample Work Plan Format)
8. Organizational Capability Statement and Vitae for Key Project Personnel
9. Letters of Commitment From Participating Organizations and Agencies
10. Completed Application Package Checklist

Mail your application package to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
330 Independence Avenue, SW
Cohen Bldg., Room 4260
Washington, DC 20201
Attention: Margaret A. Tolson, Director

G. DEADLINE FOR SUBMITTING APPLICATIONS

The application must be: a) transmitted electronically to <http://www.aoa.gov/egrants/>;
b) postmarked by midnight, May 10, 2002; or c) hand-delivered by 5:30 p.m. Eastern Time on May 10, 2002 to:

Department of Health and Human Services
Administration on Aging
Grants Management Division
330 Independence Avenue, SW
Cohen Bldg., Room 4260
Washington, DC 20201
Attention: Margaret A. Tolson, Director
Attn: AoA-02-04

ATTACHMENTS

Sample Budget Justification Format with Examples

Sample Budget Justification Format

Sample Work Plan Format

Grant Application Package Checklist

Budget Justification, Page 1 – Sample Format with EXAMPLES

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel	\$40,000		\$5,000	\$45,000	Project Supervisor (name) = .3FTE @ \$50,000/yr = \$15,000 Project Director (name) = 1FTE @ \$40,000 = \$30,000
Fringe Benefits	\$14,000	0	0	\$14,000	Fringes on Supervisor and Director @ 28% of salary. FICA (7.65%) = \$3,825 Health (12%) = \$6,000 Dental (5%) = \$2,500 Life (2%) = \$1,000 Workers Comp Insurance (.75%) = \$ 375 Unemployment Insurance (.6%) = \$ 300
Travel	\$3,000	0	\$ 967	\$3,967	Travel to Annual Grantee Meeting: Airfare: 1 RT x 2 people x \$750/RT = \$1,500 Lodging: 3 nights x 2 people x \$100/night = \$ 600 Per Diem: 4 days x 2 people x \$40/day = \$ 320 Out-of-Town Project Site Visits Car mileage: 3 trips x 2 people x 350 miles /trip x \$.365/mile = \$ 767 Lodging: 3 trips x 2 people x 1 night/ trip x \$50/night = \$300 Per Diem: 3 trips x 2 people x 2days/trip x \$40/day = \$480

Budget Justification, Page 2 Sample Format with EXAMPLES

F.

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	<u>TOTAL</u>	Justification
Equipment	0	0	0	0	No equipment requested
Supplies	\$1,500		\$2,000	\$3,500	Laptop computer for use in client intakes = \$1,340 Consumable supplies (paper, pens, etc.) \$100/mo x 12 months = \$1,200 Copying \$80/mo x 12 months = \$, 960
Contractual	\$200,000	\$50,000	0	\$250,000	Contracts to A,B,C direct service providers (name providers) adult day care contractor = \$75,000 respite care contractor in home= \$75,000 respite care contractor-NF = \$50,000 personal care/companion provider = \$50,000 See detailed budget justification for each provider (and then provide it!)

Budget Justification, Page 3 – Sample Format with EXAMPLES

Other	\$10,000	\$8,000	\$19,800	\$37,800	Local conference registration fee (name conference) = \$ 200 Printing brochures (50,000 @ \$.05 ea) = \$ 2,500 Video production = \$19,800 Video Reproduction = \$ 3,500 NF Respite Training Manual reproduction \$3/manual x \$2000 manuals = \$ 6,000 Postage \$150/mo x 12 months = \$ 1,800 Caregiver Forum meeting room rentals \$200/day x 12 forums = \$ 2,400 Respite Training Scholarships = \$1,600
Indirect Charges	0	0	0	0	None
TOTAL	\$265,700	\$60,800	\$27,767	\$354,267	

**75% of
Total Cost
(Federal \$)**

**25% of Total Cost
(Required Match)**

Budget Justification – Page 1 – Sample Format

Object Class Category	Federal Funds	Non-Federal Cash	Non-Federal In-Kind	TOTAL	Justification
Personnel					
Fringe Benefits					
Travel					
Equipment					

Budget Justification – Page 2 – Sample Format

Object Class Category	Federal Funds	Non-Federal Cash	Non- Federal In-Kind	TOTAL	Justification
Supplies					
Contractual					
Other					
Indirect Charges					
TOTAL					

Project Work Plan, Page 1 – Sample Format

Goal:

Measurable Outcome(s):[illegible]

Project Work Plan, Page 2 – Sample Format

[illegible]

Project Work Plan, Page 3 – Sample Format

Major Objectives	Key Tasks	Lead Person	Timeframe (Start and End Date by Month)											
			1	2	3	4	5	6	7	8	9	10	11	12
5.														
6.														

NOTE: Please do not infer from this sample format that your work plan must have 6 major objectives. If you need more pages, simply repeat this format on additional pages.

Grant Application Package Checklist

The checklist below identifies the items that must be included in your mail-in application submission. Please check-off each item to ensure your submission is complete, and includes a copy of the completed checklist in your application package. The components of your submission should be ordered in the same sequence as the items listed below.

I have checked my application package to ensure that it includes:

- ☐ One original application plus two copies, with the SF 424 as the first page of each copy of the application.
- ☐ SF 424.
- ☐ SF 424A.
- ☐ Budget Justification.
- ☐ SF 424B.
- ☐ SF CD-511. Be sure this form is completed according to the instructions, signed and dated by the authorized representative (see item 18d on SF 424).
- ☐ A copy of the current indirect cost rate agreement approved by the Department of Health and Human Services or another federal agency.
- ☐ Project Narrative.
- ☐ Completed Grant Application Package Checklist
- ☐ Receipt of Application Acknowledgement Card (Optional)